STANDARDS AND TRAINING FOR CORRECTIONS POLICY AND PROCEDURES MANUAL FOR
Participating Departments

References and Documents: Penal Code Sections 6024 – 6040, 830 et. Seq., Government Code Section 1029 et. seq., Title 15, California Code of Regulations (CCR), Section 100-358, 1020, 1025, 1320, Welfare and Institutions Code Sections 207, 872, 885.

I. GENERAL PROGRAM INFORMATION

A. The Board of Corrections (BOC)

1. Purpose

The Legislature established the BOC to provide leadership and coordination in California local corrections. The BOC sets minimum standards for the management and operation of local adult and juvenile detention facilities. The BOC is responsible for establishing selection and training standards for local Adult and Juvenile Corrections Officers, and Probation Officers. From the time of program inception, through the 2002/2003 fiscal year, BOC provided subvention funds to aid counties and cities in meeting these standards. Subvention funds to assist local agencies with the cost of training were discontinued in the 2003/2004 fiscal year.

The BOC is also responsible for administering state funding programs for local correctional facility construction projects, conducting research projects pertaining to local corrections operations, and providing data and recommendations to other state agencies and officials on matters relating to penology.

2. Standards and Training for Corrections (STC) Program

The STC Program operates under the BOC. STC's primary role is to foster effective staff selection and job related training for local corrections personnel. The STC Program philosophy centers on a constituent-driven, decentralized model of employee selection and training delivery services.

The staff of the STC Division consist of a deputy director, field representatives, consultants, information systems technicians, and clerical support personnel.

3. Program History

The STC Program began on July 1, 1980, and the BOC was named to administer it. Chapter 5 of the Penal Code, Sections 6024 through 6040 contains the enabling authority for the Program.

These sections also established the Corrections Training Fund (CTF). From 1980 through 2003, the CTF provided state subvention to help offset a portion of the cost of training incurred by local correctional agencies. Commencing in 2003/2004, these funds were redirected to the State General Fund.

The BOC has established and continually maintains statewide standards that provide valid selection criteria for the following entry-level positions:

- Adult Corrections Officer

- Probation Officer

- Juvenile Corrections Officer

These selection criteria include written selection examinations and job-related Core training curricula to be successfully completed by newly-hired employees within the first year of employment. Entry-level Core training courses include several job knowledge and performance tests. Therefore, the Core training curriculum is more than training; it is also an important part of the overall selection process.

These selection criteria are based on a comprehensive job analysis that is updated periodically to ensure the currency of the standards. The job analysis identifies the Core tasks for each of the three positions based on the frequency of each task performed, the criticality of the task, and how common the task is to all the agencies statewide.

Representatives from participating agencies identify the Core tasks. Since the original research in the early 1980s and through subsequent revision projects up to the present, thousands of local corrections professionals have been key resources in maintaining these standards.

The process by which STC's selection criteria have been established and maintained complies with the Federal Uniform Guidelines for Employee Selection and related professional standards.

II. REGULATIONS

STC Regulations are set forth in Title 15, Division 1, Chapter 1, Subchapter 1, Sections 100 through 358 of the California Code of Regulations. The BOC periodically reviews and revises its STC Regulations and program requirements. The process is guided by an executive steering committee (comprised of local corrections professionals), assisted by task force groups of subject matter experts.. A current copy of STC regulations is available at the BOC Website: www.bdcorr.ca.gov.

A. Objective

The Standards and Training for Corrections Division (STC) works in collaboration with local corrections agencies and public/private training providers in developing and administering programs designed to ensure the competence of local corrections professionals. The Regulations establish the framework through which this objective is met. Specific functions performed by the STC Program include:

- ♦ Developing and updating standards which lead to the selection of qualified people for employment and the maintenance of staff proficiency; and,

- ♦ Administering a seven-step selection criteria system that complies with federal and state guidelines; and,

- ♦ Developing and updating standards that ensure staff competency (at both the entry level, and the journey level) through on-going training; and,

- ♦ Administering a statewide training course certification process that includes a coordinated training delivery system; and,

- ♦ Working with local departments and training providers to develop workable plans to implement the selection and training standards, and to overcome obstacles encountered during implementation; and,

- ♦ Training staff from local agencies in the intricacies of personnel selection, managing departmental training programs, and also in the art of curriculum development and course presentation; and,

- ♦ Classroom monitoring of STC certified training courses to ensure that content, training methodology, and assigned instructors are consistent with the course, as certified; and

- ♦ Inspecting the staff selection and training records of participating departments; assisting in identification of problems in meeting the standards, as well as developing solutions to those problems; and

- ♦ Providing on-going, focused technical assistance and support to local corrections departments and training providers in a variety of areas that deal with staff selection and training.

B. Determination of Eligibility

1. Eligible Agencies

Agencies eligible for participation in STC include those of any county, city and county, or city defined as:

- ♦ County probation departments;
- ♦ County or city jails designated as Types I, II, III or IV by Title 15 CCR; or,

- ♦ Juvenile institutions that operate, as a separate entity, or under jurisdiction of a county probation department, as described in Section 872 and 885 of the Welfare and Institutions Code.

2. Eligible Staff

Staff deemed "eligible" for inclusion in the STC Program (those regulated by STC), *are those that occupy regular, budgeted positions* in an agency. Refer to the position allocation schedule adopted by the local governing authority (e.g. City Council or Board of Supervisors) to determine the correct number and classification of regular, budgeted positions to be included in the STC Program by your agency. While STC does not formally regulate selection and training records for staff classified as "extra-help" or "on call," local departments may need to meet training requirements under minimum standards for the operation of adult and juvenile facilities (Title 15 Sections 1020 through 1028; and Sections 1321 through 1323, respectively).

There are two types of staff eligible to participate in STC: "full" participants and "limited" participants. Agencies that choose to participate in STC *must* include the positions of *all* full and limited participants. Exceptions include sheriff, undersheriff, police chief and assistant police chief, whose participation is optional. Staff eligible to participate in STC must meet the following criteria:

3. **Full Participants (full-time employees)**

    1) Are employed full-time occupying budgeted positions authorized by the County Board of Supervisors or City Council.
    2) Have as a *primary* duty the responsibility for the custody and or correcting behavior of adult or juvenile offenders, and work at least 51 percent of their working hours in this capacity, or have responsibility for supervision, management, or administration of these staff. A full fiscal year makes up the basis for determining the percentage of work hours devoted to correctional duties.

4. **Full Participants (regular part-time employees)**

    1) Are employed regular part-time (providing they work at least halftime), occupying budgeted positions authorized by the County Board of Supervisors or City Council.
    2) Have as a *primary* duty the responsibility for the custody and or correcting behavior of adult or juvenile offenders, and work at least 51 percent of their working hours in this capacity, or have responsibility for supervision, management, or administration of these staff. A full fiscal year makes up the basis for determining the percentage of work hours devoted to correctional duties.
    3) Part-time employees are required to comply with the *same* selection and training standards as full-time staff.

5. **Full Participants (staff support employees)**

    1) Employees in staff or administrative positions outside the corrections career ladder that coordinate STC training or have responsibility for administrative oversight of the STC Program within participating agencies may be included as eligible staff, at the discretion of the department administrator, under either of the following conditions:

        ♦   The training planned is proper, relevant, and designed to improve competence in the employees' areas of responsibility within the agency's STC Program operation. The training may apply to employees filling positions such as department training officer and business manager; or,

        ♦   The training planned for the employee is designed to maintain competency in an STC eligible job classification category held by the employee before assignment to the staff or administrative position. The position must be

identified in one of the seven STC Program eligible classifications discussed in the definitions under job classifications.

2) Eligibility for staff and administrative positions is limited to annual training. There is not a core-training requirement. Recommended annual training for training coordinators include *STC Training Managers' Course* (first year) and follow-up training that addresses job responsibilities of training managers (in subsequent years).

6. <u>Limited Participants:</u>

♦ Are employed full time, occupying budgeted positions authorized by the County Board of Supervisors or the City Council.

♦ Have as one of their *primary* duties the responsibility for the custody and or correcting the behavior of adult or juvenile offenders.

♦ Spend *less than 51 percent* of their working hours in a correctional capacity.

♦ Have not yet completed the Core training prescribed by the BOC.

Limited participants should be included in the Annual Training Plan only during their first year of assignment, for the purpose of attending core training. After completing core training, limited participants should not be included in the Annual Training Plan during subsequent years.

C. Job Classifications

The following are definitions of the job classifications used by STC. When agencies are unsure about an individual's job classification, it is important to focus on the *job function* to determine the STC job classification rather than the person's job title. Agencies should use the definitions noted below to determine the appropriate STC job classifications when developing the Annual Training Plan and managing the training program.

1. <u>Administrator</u>

This is a *top-level administrative position* in an agency. The position typically includes county sheriff, undersheriff, assistant sheriff, chief deputy or commander in charge of multi-detention facilities; chief probation officer, assistant chief probation officer; county director of corrections, assistant director of corrections; police chief, and assistant police chief.

2. **Manager**

This is a middle management position *above the first supervisory level and below the assistant department administrative level*. The position typically includes titles such as juvenile institutions superintendent, assistant juvenile institutions superintendent, corrections lieutenant, captain, supervising probation officer, division director, detention facility manager, and probation manager. The STC Training Manager staff position may be included in this classification at the discretion of the agency administrator.

3. **Supervisor**

This is the first supervisory level. This individual plans, assigns and reviews the work of a group of entry-level or journey-level staff. Titles typically include supervising probation officer, sergeant, and supervising group counselor.

4. **Journey Adult Corrections Officer**

With minimal supervision, this individual in an adult detention facility performs the *full range* of inmate custody, supervision and counseling. Incumbents may have lead responsibility and may or may not have peace officer status. Titles typically include corrections officer, custodial officer, and deputy sheriff. (Records clerks, bailiffs, transportation, maintenance, medical, food services, and education/program staff are not covered under this definition.)

5. **Journey Juvenile Corrections Officer**

With minimal supervision, this individual in a juvenile institution performs the *full range* of custody, supervision and counseling. Incumbents may also have lead responsibility. Titles typically include group counselor, group supervisor, and detention services officer. (Records clerks, transportation, maintenance, medical, food services, and education/program staff are not covered under this definition.)

6. **Journey Probation Officer**

With minimal supervision, this individual in a probation department or a correctional services agency performs the *full range* of juvenile and adult probation assignments. Incumbents may also have lead responsibility. Titles typically include deputy probation officer and senior deputy probation officer.

7. **Entry Adult or Juvenile Corrections Officer/Probation Officer**

These positions include individuals who have *not completed* the BOC's entry-level standards, including Core training. Titles typically include corrections officer I, group counselor I, deputy probation officer I, custodial officer I, deputy sheriff, and police officer. (Records clerks, bailiffs, transportation, maintenance, medical, food services, and education/program staff are not covered under this definition.)

III. STANDARDS FOR SELECTION

The BOC has established minimum selection standards for entry-level positions (Adult Corrections Officer, Juvenile Corrections Officer, Probation Officer). Counties and cities participating in the Program must comply with these standards (Title 15 CCR, Sections 130-133).

Each county and city is encouraged to exceed the minimum selection standards consistent with the goal of increased competency and fair employment guidelines. Counties and cities need to assess precise methods to achieve or exceed minimum compliance with these Standards.

A. Minimum Selection Standards

In addition to requirements in Section 830 et seq. of the Penal Code and Section 1029 et seq. of the Government Code, the BOC standards in Title 15 CCR, Sections 130-132 shall apply. The standards for entry Probation Officer positions, entry Juvenile Corrections Officer positions, and entry Adult Corrections Officer positions shall include but not be limited to the following:

♦ Basic abilities and other characteristics important for successful job performance by passing the Board's written examination. An alternative examination may be substituted pursuant to Title 15 CCR, Section 131 (c).

♦ Competence in oral communication as demonstrated in an interview.

♦ Past behavior compatible to job requirements as demonstrated by a background investigation.

♦ Competence in the knowledge, skills and abilities necessary for entry-level job performance, as demonstrated by successful completion of the required core training curriculum.

♦ Competence in the performance of entry-level duties as demonstrated by successful completion of the employer's probationary period.

♦ Possession of the skills and abilities for the position as demonstrated by meeting the BOC's current guidelines for vision, hearing, and medical screening.

♦ Be at least 18 years of age before appointment.

♦ If an individual fails to satisfy the minimum selection standards, the employing agency should consider whether it is obligated under applicable laws to provide a reasonable accommodation for that individual {Title 15 CCR, Section 131 (d)}.

B. Written Selection Examination

1. Cost

BOC has absorbed the substantial cost of developing a written selection examination for three entry level positions: Juvenile Corrections Officer, Adult Corrections Officer, and Probation Officer. Each exam is different and based upon a job task analysis and other research specific to each classification. While BOC makes the exam available to all agencies that participate in STC at no cost, the test contractor (currently Cooperative Personnel Services) charges local agencies modest fees to set up each test administration, for shipping, and for scoring. Local agencies may proctor test administration themselves, or pay Cooperative Personnel Services to perform this activity.

2. Test Security Agreement

Agencies using the BOC's examination enter into an agreement with the BOC's test examination contractor. Terms of the agreement include assuming responsibility for test security. Any breach of test security or loss of the exam booklets *may result in the county or city being financially liable* for significant costs for new test development and validation. It may also result in restricted use of the exam under paid proctoring conditions.

Because of this, agencies should exercise care in deciding how to handle and proctor the BOC selection exams. It is essential that the designated representative of the STC participating agency understand the provisions of the security agreement. In addition, it is very important to follow the test administration protocol specified by the BOC's testing agent. For more information on proper test administration procedures, please refer to the BOC's *Test Users Manual* (there is a separate manual for each of the three entry-level positions). You may contact the STC Selection Standards Managers for additional information about this topic.

3. Candidate Orientation Booklets

STC publishes a candidate orientation booklet that is available to local agencies for reproduction to send to prospective job candidates before they take the written selection

examination. The purpose of the candidate orientation booklet is two-fold. The booklet reduces test anxiety by providing candidates a preview of the types of questions they will be asked on the test. It also serves as a self-selection tool for those candidates who, after reviewing the sample test questions, believe they are not suited for the position and "drop out" before the county or city expends funds screening them. Agencies are encouraged to make the *Candidate Orientation Booklet* available to job candidates. These are available at the BOC Website: www.bdcorr.ca.gov.

4. <u>Cut Off Scores</u>

The BOC's written selection examinations require the determination of a single cutoff score within a score range for each entry-level position. The decision of which cutoff score to use is made by the local participating agency. The cutoff score can vary from one test administration to another depending on the size of the candidate pool and local needs. Each test has a recommended range of cutoff scores that the hiring agency should review. Setting a cutoff score below the minimum recommended point may result in less satisfactory applicants. Setting the cutoff too high may result in unfair hiring practices.

Positive and ongoing communication between the STC participating agency and the local hiring resource, such as the personnel department, are essential in selecting useful cutoff scores. For more information on test scoring, please refer to the BOC's publication, *Test User's Manual.*

C. Alternative Written Selection Examination

Those agencies choosing an alternative written examination pursuant to Title 15 CCR, Section 131 (c) must:

♦ Ensure the examination measures those knowledge, skills, abilities and other personal characteristics identified by the BOC as necessary for successful job performance;

♦ Have validated that the examination tests for these knowledge, skills, abilities and other personal characteristics;

♦ Verify that the examination meets the fairness doctrines of the *Federal Uniform Guidelines for Selection Procedures*; and,

The BOC will neither review the alternative examination for validity, fairness and adverse impact, nor defend any challenges to the selected alternative examination.

D. Alternative Selection Standards

Agencies employing deputy sheriffs or police officers who are recruited for law enforcement duties, but who are temporarily assigned to adult corrections officer/jail duties, may use the POST selection examination process instead of the BOC's selection standards, except for Core training. There is a modified entry-level course titled *Adult Corrections Officer Supplemental Core Course* for those personnel who have completed the Basic POST Academy.

IV. STANDARDS FOR TRAINING

The BOC has established minimum training standards for local corrections staff. Counties and cities participating in STC must comply with these standards (Title 15 CCR, Sections 169-185).

There are two categories of courses certified by STC: Core Training and Annual Training. The training requirements listed below are *mandatory* for eligible staff employed by participating agencies:

A. Core Training Courses

The BOC has identified six specific training courses as Core training, which are noted below. Each course includes a prescribed course outline and minimum number of hours. The entry-level courses have specific subject matter and instructional objectives that must be met.

The entry-level Core courses contain subject matter that directly relates to the performance of job tasks, and is a pre-service training model. Although standards allow up to one year to complete Core courses, participating agencies are encouraged to have their eligible staff complete this training before an actual work assignment.

The Core courses consist of modules that are specific in content and time allocated to the training subjects. The skills taught in each module are critical to being able to perform job tasks. Any instructional objectives missed must be completed before a trainee will be deemed to have "satisfactorily completed" core training. One of the selection standards for line staff in moving from entry-level to journey-level status is the successful completion of core training. Successful completion means more than just attending training hours. It includes the completion of tests that are administered throughout the course. Thus, Core training providers must provide Core course test results to the employer.

1. Special Considerations for Employers Related to Core Training

The benchmark minimums in the core course are translations of the typical minimum performance levels found to be applicable across the full range of agencies participating in the STC Program. Thus, by meeting the benchmark minimums, trainees demonstrate that they are able to meet typical statewide minimum requirements.

Whether meeting the benchmark minimums in the core course also indicates a trainee's ability to meet a specific agency's local requirements depends on how that agency's local standards compare to the statewide requirements.

It is imperative that local agencies not confuse the benchmark minimums utilized in the statewide core course with the specific job requirements for their particular agency. It clearly would be inappropriate to terminate an employee based on standards that do not apply to the particular agency by which they have been hired. For example, if an agency has no facility with stairs, or does not require corrections officers to climb stairs in making their rounds or getting to the scene of an emergency, then the benchmark minimum for the *Stair Walk Test* would be difficult to defend as an absolute requirement for job entry with that particular agency.

In circumstances where the statewide performance requirements are the same as the local performance requirements and an individual trainee is unable to meet all the benchmark minimums, agencies should evaluate the situation on a case-by-case basis. A trainee should not be automatically disqualified from placement in the local corrections position for failure to meet benchmark minimums. The determination of how to handle the situation is made by the employing agency. The evaluation might include such considerations as the following:

- ◆ Is additional practice likely to bring the employee's performance up to the benchmark minimum(s)? If so, and if additional practice time is administratively feasible, the employer may consider providing that opportunity.

- ◆ Is the employing agency obligated under applicable statutes and/or regulations to make reasonable accommodation for a local corrections/probation officer who may be unable to meet minimum performance standards on the particular task(s) associated with the benchmarks in question? The employer needs to consider the issue of accommodation on a case-by-case basis.

2. Core Enrollment—Employer's Role

Prior to enrolling a trainee in a core course, employers should conduct a medical screening by an examining physician who is familiar with the types of activities the trainee will be engaged in during the course.

The employing agency should make sure each trainee who participates in the core course has been given a proper orientation to the training several weeks prior to course attendance. This includes advising the employee that exercise clothing and shoes will be required during the course as well as explaining the employers expectations with regard to participation. Employers may find it helpful to provide each employee sections of the physical tasks training manual that pertain to the specific activities the trainee will be performing during the course.

Employers should make every effort to familiarize themselves with the provider's approach to physical tasks training. This might include an on-site visit to the course to observe the training. As with any aspect of the core course, employers should maintain regular and clear communication with the provider as to expectations and trainee performance while the course is in progress.

B. Types of Core Courses

1. Probation Officer Core Course

In addition to CPR as required by EMS, the Probation Officer Core Course consists of a minimum of 170 hours of instruction in specific performance/instructional objectives. Entry-level staff must successfully complete these course objectives by showing a satisfactory level of proficiency on relevant achievement tests. This training shall be completed in the first year of job assignment as a probation officer.

Trainees who have successfully completed Cardiopulmonary Resuscitation (CPR) and are currently certified, do not need to repeat this subject.

2. Juvenile Corrections Officer Core Course

In addition to First Aid and CPR as required by EMS, the Juvenile Corrections Officer Core Course consists of a minimum of 126 hours of instruction in specific performance/instructional objectives. Entry-level staff must successfully complete these course objectives by showing a satisfactory level of proficiency on relevant achievement tests. This training shall be completed in the first year of job assignment as a Juvenile Corrections Officer.

Trainees who have successfully completed Cardiopulmonary Resuscitation (CPR) and First Aid, and are currently certified, do not need to repeat these subjects.

3. Adult Corrections Officer Core Course

In addition to First Aid and CPR as required by EMS, the Adult Corrections Officer Core Course consists of a minimum of 176 hours of instruction in specific performance/instructional objectives. Entry-level staff must successfully complete these course objectives by showing a satisfactory level of proficiency on relevant achievement tests. This training shall be completed in the first year of job assignment as an Adult Corrections Officer.

Trainees who have successfully completed Cardiopulmonary Resuscitation (CPR) and First Aid, and are currently certified, do not need to repeat these subjects.

4. Adult Corrections Officer Supplemental Core Course

The Adult Corrections Officer Supplemental Core Course consists of a minimum of 56 hours of instruction in specific performance instructional objectives. It is designed for the Adult Corrections Officer who has previously completed the Peace Officers Standards and Training (POST) Basic Academy Course. Entry-level staff must successfully complete these course objectives by showing a satisfactory level of proficiency on relevant achievement tests. This training shall be completed within the first year of job assignment as an Adult Corrections Officer.

5. Supervisor Core Course

The Supervisor Core Course consists of a minimum of 80 hours of instruction to be completed during the first year of job assignment as a supervisor in a jail or adult institution, juvenile institution, or probation department.

Satisfactory completion of the POST certified "Supervisory Training Course" also satisfies the core supervisory training requirement for STC.

6. Manager/Administrator Core Course

The Manager-Administrator Core Course consists of a minimum of 80 hours of instruction to be completed in the first year of job assignment as a manager or administrator in a jail (adult institution), juvenile institution or probation department. Eighty hours of instruction consists of prescribed management topics relevant to local correctional management and administration.

The POST certified *Manager Training Course* or *Executive Development Course* may be substituted for the *Manager-Administrator Core Course* for adult institutions (jails) managers and administrators.

C. Annual Required Training Courses

Annual training is mandatory for all full participation eligible staff that have completed Core training. Annual training is specialized or refresher training that develops or enhances job-related skills. Flexibility is permitted in course content and method of instruction to meet changing conditions and local needs.

Program Concept: Annual training should be developed or selected based on organizational or individual needs related to the employee's job. Each county and city is encouraged to exceed the minimum training standards consistent with the goal of increased job skills and competency. Due to the complexity of job assignments, some staff may need training that far exceeds minimum state standards.

During any fiscal year, each person shall complete at least the number of appropriate annual training hours listed below:

Journey Probation Officer	40 hours
Journey Juvenile Corrections Officer	24 hours
Journey Adult Corrections Officer	24 hours
Probation Supervisor	40 hours
Supervising Juvenile Corrections Officer	40 hours
Supervising Adult Corrections Officer	24 hours
Manager*	40 hours
Administrator*	40 hours

<u>**Option**</u>: *

Managers and administrators of Jails or Adult Institutions may only need to comply with a minimum of 24 annual training hours per year *if* the participating agency has requested a variance to Title 15, CCR, Section 184 (A) (7) and (8) and the variance has been approved by the BOC.

V. ANNUAL TRAINING PLAN

A. Purpose

To participate in the STC Program, agencies start the process by submitting an Annual Training Plan (ATP) application. The ATP identifies the number of staff in various job classifications that are subject to STC selection and training standards. Before submitting an ATP, applicants should review the relevant laws and regulations governing participation in the STC Program. Penal Code Sections 6035 through 6044 contain the legal basis for participation in the STC program. Title 15 CCR, Sections 100 through 358, contain the regulations.

The ATP is a brief application that is submitted on-line (via the Internet) for each fiscal year an agency opts to participate in the STC program. The on-line application must be submitted to BOC on or before April 15, for participation starting the following July 1. A signature page (containing summary information) is signed by the top agency administrator (e.g. sheriff, chief police, agency director, chief probation officer) and submitted via regular mail. If the agency administrator wants to have a designee sign in his/her behalf, a letter must be on file with BOC idenfitying the name and job title of the designee.

To complete the ATP, an agency must know the number of STC eligible budgeted positions, and the number of expected new hires and/or promotions, for the planned fiscal year. The ATP assists both the local agency and BOC in determining the amount and type of training that will be required in any given fiscal year. By determining the amount of training necessary to meet minimum standards, it also assists local departments in forecasting the cost of training.

> **Helpful Hint: When preparing the ATP, the estimate of eligible STC positions in the plan should be based upon the presumption that all requested positions will be approved by the governing authority. A modification to the ATP may be filed later in the year if the total numbers of budgeted positions change after local budgets are finalized. If total local positions change after the beginning of the fiscal year, a Modified ATP should be filed.**

B. Requirements

The Annual Training Plan must include the following:

1.   County or City Ordinance

A county or city applying for funding is required to have its local governing body adopt an ordinance authorizing participation. Under Penal Code Section 6041, the language of the ordinance *must* indicate that *while receiving state aid, the county or city will adhere to the standards for selection and training established by the BOC.* One ordinance may cover a single participating department or all participating agencies within the county or city. The ordinance must remain in force during the entire time a city or county is participating in the STC Program.

One *certified* copy of the approved ordinance must be included with the initial Annual Training Plan or in the Plan of an agency returning to the STC Program after an absence of one year or more. A certified copy is one that shows a *current year and date stamp.* It should be signed by the county or city clerk as attesting that it is a correct copy of the original document.

2.   Annual Training Plan Application

Each local agency is issued a unique identification number and pin number for purposes of submitting official information to STC via the Internet. The bulk of the data for the ATP is submitted on-line. Only the signature page (signed by the agency administrator) is submitted via regular mail.   If you are unsure of your agency's identification and pin numbers, contact your assigned STC Field Representative.

3.   Date for Submission

A county or city intending to participate in the STC Program must submit the on-line portion of the Annual Training Plan by April 15 of the preceding fiscal year. The signature page should follow via regular mail as soon as possible.

VI. MODIFICATIONS TO THE ANNUAL TRAINING PLAN

A. Changes in Annual Training Plan

If, at any point during the fiscal year, approved budgeted positions change from the projections in the approved ATP, it is the agency's responsibility to file a Modified ATP adjusting the total number of STC-eligible positions. Like the original ATP, modifications are also be filed via the Internet. As with the original ATP, any modifications must be followed-up by a signature page signed by the local departmental administrator. Agencies should confer with their assigned Field Representative prior to filing a modified ATP.

B. Withdrawal from the Program

A County Board of Supervisors or City Council may withdraw an agency from the STC Program by submitting to the BOC's Deputy Director, STC Division, written notice stating the decision to withdraw. The withdrawal becomes effective 45 calendar days after the Deputy Director receives the notice.

VII. RECORD KEEPING

Agencies participating in STC *must maintain records* to documenting training activity for individual trainees, as well as records capturing aggregate training activity. At minimum, local agencies participating in STC must maintain the following records:

A. Staff Training Records

The following information must be maintained in training records for *each individual* participating in STC:

- Participant's name

- Title of current position

- STC job classification

- Date appointed to *current position*

- Date of hire and dates of position changes

- Equivalencies granted during calendar years 1980-1982

- Training courses completed, including:

  - Course title

  - Course certification number

  - Date(s) of training

  - Total hours of attendance

  - Test results and student evaluation from the Core training provider

Helpful Hint: Documentation of approved equivalencies should be retained as long as the affected persons are employed by the participating department.

B. Program Records

The following information is to be maintained and accessible by the department for at least *three years*:

- **Approved Annual Training Plans;**

- ♦ **Approved Modifications of Annual Training Plans;**

- ♦ **Approved Quarterly Reports;**

- ♦ **Course rosters, attendance records or certificates submitted by training providers which document each participant's hours of attendance at STC certified courses; and,**

- ♦ **Test results submitted by training providers**.

VIII. PARTICIPATING AGENCY REPORTS

A. Quarterly Progress Report

The Quarterly Progress Report is the official document used by participating agencies to report the actual training completed by the departmental staff. The Quarterly Report must be submitted to STC within 45 calendar days after the end of each quarter. The due dates of these reports are:

First Quarter Report	November 15
Second Quarter Report	February 15
Third Quarter Report	May 15
Fourth Quarter Report	August 15

The quarterly report is used by the assigned STC Field Representative to monitor each agency's overall progress in implementing its Annual Training Plan throughout the fiscal year. This document assists STC in determining technical assistance needs at the local level, and also in tracking the availability and delivery of training on a regional basis throughout the State.

B. Annual Inspection

Around June 30 of each year, participating counties and cities submit a report detailing their training during the fiscal year. This report contains a list of names of all STC eligible staff occupying budgeted positions as of June 30, and the number of vacant budgeted positions. Each person is identified by name; STC job classification category; date assigned to the current STC job category; agency job title; number of training hours completed in the fiscal year; and whether the training required during the year was Core or Annual.

This report also lists all staff that did not meet training standards during the year. In each case where standards were not met, the causes must be stated, along with any mitigating circumstances. The report must be signed by the agency administrator (e.g. Sheriff, Chief of Police, Agency Director, Chief Probation Officer) unless a letter is on file with the Board authorizing a designee to sign on behalf of the administrator.

Prior to the annual inspection on training activity, STC will send a reminder letter to each local agency describing the information required in this report. The reminder letter from STC will be mailed around mid-May (prior to the end of the fiscal year) and the actual on-site inspection will occur after all planned training for the fiscal year has been completed (between June and September).

IX. MONITORING OF PARTICIPATING AGENCIES

A. Training Program

STC will inspect the county's or city's training program one or more times each fiscal year to their progress in meeting selection and training standards. STC Field Representatives will conduct on-site inspection of records and documents. Training records for all eligible participants must be made available upon request. Documents that must be available for review are listed under the "Record Keeping" section.

X. WAIVERS AND APPEALS

A. Waivers

The BOC cannot waive legal requirements (e.g. Penal Code). The waiver process is only appropriate for standards or program requirements, and only the BOC may grant a waiver (Title 15 CCR, Section 104). To obtain a waiver, send a written request from the agency administrator to the STC Deputy Director of the BOC. The request must include the following details:

- ♦ The specific reason(s) for which the waiver is requested
- ♦ The specific change(s) requested

Waivers, when granted, apply only to the specific agency (or agencies) that requested them.

B. Appeals

STC policy and staff decisions are subject to appeal. To initiate an appeal, agencies must follow the procedures detailed in Title 15 CCR, Sections 350-358, which describe the appeal procedure for counties or cities. All appeals should be addressed to the Executive Director of the BOC.

XI. HOW TO GET STC TRAINING CREDIT

There are many different ways to get STC training credit:

♦ Use other training providers (*Regular Request for course Certification*—RFC)

♦ Local agency acts as its own training provider using (RFC)

♦ Local agency acts as its own training using *Intensified Format Training* (IFT)

♦ Local agency applys for alternative training credit under *Work Related Education, Training and Professional Development* (WRE)

♦ Local agency applys for alternative training credit under *Special Certification* (SC)

♦ Local agency applies for alternative training credit under *Computer Based Training* (CBT)

Each type of certification or training credit has unique characteristics and limitations. Some of the differences among the various options are described below:

	RFC	IFT	WRE	SC	CBT
Of Annual Training Hours required, the maximum allowable to fulfill this requirement: *<u>NOTE</u>: Except for the classifications of Manager or Administrator, no other classifications may receive more than ½ their annual training hours via WRE.	100%	100%	50%*	100%	100%
Minimum # of approvable STC hours:	2	.5	N/A	2	N/A
Maximum # of approvable STC hours:	N/A	2	N/A	N/A	N/A

The following information will assist in determining when and how to use the various types of certifications or training credits:

A. Use Other Providers: Regular Request for Certification (RFC)

1. <u>When to Use It</u>

Sometimes agencies do not have the staff resources that allow them to be their own training provider. Agencies may also have special training needs for specific staff. In these cases, agencies often choose to use an outside provider to deliver certified STC training. An outside provider is any provider other than the agency serving as its own provider. This

includes but is not limited to private providers, private nonprofit providers, another agency, community colleges or universities, and training or professional associations, among others.

2. What's Required

All providers must follow the *STC Policies and Procedures Manual for Training Providers* in requesting certification and in delivery of their courses.

3. Selecting Certified Courses of Outside Providers

Agencies should develop or select annual training courses based on organizational and individual training needs related to the participant's job. When training needs are identified, the STC catalog is often a department's first source of information about existing certified courses.

The course catalog and calendar are updated continuously. Both may be accessed by logging on to the BOC's Website at www.bdcorr.ca.gov. The catalog and calendar both offer slightly different search capabilities. Users may customize their searches using a wide variety of criteria. Using either the catalog, or the calendar, a list of courses meeting the user's criteria will be displayed. The user may then select a specific course to view detailed information about course content, cost, length, presentation dates and locations, provider contact information, etc.

4. Finding the Right Provider

STC publishes a directory which is available at the BOC Website: www.bdcorr.ca.gov. The directory lists participating agencies, their chief executives and training managers. The directory also identifies all providers of STC certified training along with their addresses and phone numbers.

Regional training associations offer valuable information about training providers and their courses. Regional training associations are also listed in the STC Directory.

5. Getting More Details About Courses

Agencies that locate a course using the above approaches may need to get more information about the course before making a selection or scheduling participants to attend. Agencies should contact the training provider to obtain detailed course information in order to determine the full scope of the course, the instructor's credentials, etc.

By contacting the training provider, and by thoroughly evaluating the "course profile" (via the STC catalog and calendar) before enrolling participants, a department will better understand the course content. This will also ensure that the course meets the training needs of the individual and the agency. Thoroughly investigating course content prior to enrollment can also help determine whether the course conflicts with any departmental expectations. Agencies are also encouraged to provide the trainees with information about the course prior to attendance. This will minimize the risk of disappointment in a course by enabling a better understanding of course objectives and content.

6. **Managing Providers**

Once an agency has narrowed its list of potential providers for a training event, the agency should use additional strategies to make a final decision. These strategies include:

- Direct contact with the providers in person or by phone

- Invitations to submit a bid

- Monitor a training session delivered by the provider

- Contact other agencies that have previously used the provider

Once an agency selects a provider, the agency may choose to send participants to the next scheduled course or bring the course directly to the agency. When an agency decides to bring in an outside provider's course, it is important to give the provider the agency's needs assessment. The needs assessment tells the provider why the training is important, who it targets, special needs surrounding it, and gaps in performance the training will be addressing. Many providers have standard design courses they offer across the State or the nation. By looking at an agency's needs assessment information, the provider can better determine if the standard design courses will meet the agency's needs.

Sometimes agencies opt to have an outside provider tailor training to its specific needs rather than sending people to the "already certified" course. When agencies make this choice, it is helpful for them to give the provider as much information as possible, to ensure the course is tailored to address their needs. In addition to needs assessment information, agencies may need to prepare performance-training objectives before making a design request of the provider.

7. Ensuring Providers Meet Agency's Needs

It is important to review the design work (objectives, course outline, lesson plans, handouts and supporting aids, cases and materials) of providers. Do this review before adopting the design. Design work can be reviewed from the information required in the RFC (request for certification) that providers must complete to certify the course. It is appropriate for the departmental training manager to request a copy of the training provider's RFC. It is important that training objectives be participant-based training objectives. *The objectives tell what the participant will be able to do at the conclusion of the training, not what the instructor will be doing.* Also, look carefully at the methods of delivery proposed by the provider. Delivery method should show a mix of didactic method (e.g. lecture) and engaging method (e.g. practice sessions), and whether the time frames look realistic based on internal needs.

8. "Best Buy" for Training Dollars

The budget may be an important part of the providers proposal. All providers of STC training that is regularly certified have the option of whether or not they wish to construct a course budget and calculate trainee tuition costs consistent with STC guidelines. If a provider opts to have his course budget and tuition approved by STC, the course profile in STC's automated system will display a dollar amount. When a dollar amount is displayed, local agencies can assume that course costs have been thoroughly reviewed and approved by STC, and that the course is cost effective. If the provider does not opt to adhere to STC guidelines for course cost and tuition, the course profile will display an "N/A" as far as budget and tuition are concerned. In this event, the provider and local agency are free to negotiate course costs and tuition as they see fit.

Local agencies should remember that the cost of training can be reduced by having the provider remove some cost items from the budget such as training room rental, printing of handouts, and audio or video equipment rental, all of which can be deducted when the agencies supply them at less or no cost. These efforts by the agency can lower the tuition cost for each participant.

> **Helpful Hint: Even if the <u>maximum</u> course budget and tuition have been approved by STC, local agencies should feel free to further negotiate all aspects of a provider's STC approved course budget, including instructor fees, clerical costs, on-site coordination, and course supplies. Training managers should approach their role in an entrepreneurial spirit. Effective negotiation can save money and stretch the use of limited training funds.**

9. **Sponsorship of Courses**

All requests for course certification are considered by STC only after an STC participating agency has reviewed the course and opted to "sponsor" it. This applies to all regularly certified courses (RFC) except those in which an STC participating corrections agency is acting as its own training provider

The *sponsorship review* establishes a need for the course before certification. In addition, it promotes a close working relationship between training providers and agencies in developing courses. Before agreeing to sponsor a course, agencies must review the proposed provider's Request for Certification (RFC) for quality, accuracy and cost effectiveness. The RFC lists performance objectives, an hour-by-hour detailed course outline, training methodology, course costs (if applicable) and instructor resumes.

The sponsorship process occurs via an on-line review of the provider's proposed course by a local STC participating agency. After entering the RFC information for a new course, the provider will be prompted to designate the local agency that will be performing the on-line review. After this review, if the local agency chooses to sponsor the course, the RFC package is automatically forwarded to STC on-line.

10. **Honoring Business Agreements with Providers**

After having built working relationships with providers, it is important for agencies to honor agreements with them. This fosters a partnership. It is particularly important to honor enrollments ("no shows" without prior notice of cancellation to the provider are inappropriate). Agencies must attempt to meet guaranteed minimum numbers of participants upon which they agreed. Also, honoring and responding timely to properly prepared invoices for tuition costs maintains a positive working relationship.

STC policy requires agencies to notify the training provider of canceled enrollments at least *fifteen* calendar days before the first day of the course. If a department has enrolled participants in a certified course and these participants do not attend the course, the provider may charge the department the cost of that tuition. If an emergency occurs that prevents a participant from attending, the department should notify the provider immediately.

When agencies enroll participants in an STC certified course, the agencies incur an obligation to the provider. The terms and conditions of this obligation are negotiable

between the agency and the provider. The provider may require written confirmation of enrollment. In addition, a provider may require a nonrefundable deposit that will be applied to the tuition cost for those who attend the course.

11. Tuition Policies

STC has comprehensive policies and procedures establishing maximum allowances for the various costs associated with course delivery. However, since no State funds are used to cover the costs of training, adherence to these policies and procedures by training providers is voluntary. When filing a request for course certification, a training provider must decide whether or not he/she wishes to adhere to STC's fiscal requirements.

If the provider opts to not follow STC's policies and procedures with regard to establishing course costs and calculating tuition, both the course budget, and the maximum tuition will be listed as "N/A" in the approved course profile. What this means is that course costs have been neither reviewed, nor approved by STC and the training provider and the local department are free to negotiate what ever fee they feel is appropriate for the course.

If the provider opts to follow STC policies and procedures with regard to course costs and tuition calculation, then dollar figures will be displayed on the course profile for both the budget and maximum tuition. What this means is that STC has conducted a thorough review of the proposed course budget and that the training provider has agreed to calculate tuition charges in accordance with STC policies and procedures. Under these circumstances, local departments may rest assured that the course is cost effective in terms of proposed instructor rates, staff travel, room rental, equipment, handouts, etc.

Please note that even when course costs have been approved by STC, *these costs represent maximum possible amounts* and are the basis for determining the maximum tuition listed in the STC Course Catalog. **Note: The maximum allowable tuition costs for any course are:**

♦ A maximum of $96 per participant, per classroom day (8 hours) may be charged by a training provider for a certified course ($12 per classroom hour per participant).

Actual course and instructor travel costs (not to exceed line items and maximum approved amounts) are used to calculate tuition charges for billing. Usually, actual tuition charges will be less than the maximum approved amount and vary with each course offering. This

occurs because the actual course delivery costs, travel costs and/or other related costs are less than the maximum projected costs.

> **Helpful Hint: Whether or not a course has an STC "approved" maximum tuition rate, agencies are always encouraged to request documentation from the training provider that support the tuition calculations. If there are questions concerning a bill, agencies should first inquire with the training provider. If additional information or direction is needed, agencies may contact their assigned STC Field Representative for assistance.**

B. Becoming an Agency Provider: Regular Request for Certification (RFC)

1. When to Use It

Participating agencies may opt to develop and deliver their own training instead of finding a private provider, another agency, or a college or university, to deliver the training. The potential exists for cost savings and more latitude about training delivery when agencies decide to be their own providers. The potential cost savings and agency latitude does increase the effort and workload required to develop, deliver and manage the course.

2. What's Required

The agency should first reference *the STC Policies and Procedures Manual for Training Providers* to obtain specific information about being an agency provider of training courses. The RFC is submitted via the Internet using the agency's unique identification # and pin #. Requests for certification of Core courses must be submitted to STC at least 60 days before delivery of the first day of training. Requests for certification of Annual training courses must be submitted at least 20 days before the first scheduled course delivery date. For each presentation of a regularly certified course (core and annual) , a completed *Course Roster* and *Course Evaluation Forms* must be submitted to STC within 30 days following each course presentation.

C. Intensified Format Training (IFT): Agency Providers

1. When to Use It

When unanticipated changes in policy or procedure require a brief review of issues for staff (often on short notice) the IFT can address these concerns. The IFT should relate directly to job performance (tasks). Develop it in an instructional design method. The IFT provides an opportunity to get a minimum of 30 minutes up to 2 hours of training, and as few as one person at a time may be trained. Some advantages of the IFT as compared to the regular

request for course certification is that the application is much shorter, and once the course is certified, training sessions may be scheduled without advance notification to STC.

2. **What's Required**

The IFT Request for Certification is submitted via the Internet using the agency's unique identification # and pin #. It must be submitted by the participating agency training manager to the STC Field Representative at least 20 days before the first training event. The format requires the statement of performance-based training objectives, a course outline giving time, content and method. Once certified, the training can be presented unlimited times during the next 12 months. An original *Course Roster* must be submitted to STC within 30 days following any presentation of the course. Keep a copy of the roster for your records. Because of the department-specific subject matter and the abbreviated nature of IFT courses, STC does not require that course evaluation forms be submitted for statistical analysis. Nevertheless, IFT providers should subscribe to established tenets of good training practices and collect course evaluation information from trainees to help guide course improvement efforts.

D. Work-Related Education, Training and Professional Development (WRE)

1. **When To Use It**

Line, supervisory or management staff sometimes pursues continued education and development opportunities. The agency as a provider can use the WRE when all or part of the education or development opportunities relate to the job being performed in the participating agency. In addition, when performance of job tasks is enhanced by the education or development activity, a participating agency may request the effort (or a part of it) be counted as a portion of the annual training hours requirements.

2. **What's Required**

The application for WRE credit is submitted via the Internet using the agency's unique identification # and pin #. While the application may be submitted *either before, or after* the training event, it must be submitted to STC for approval within the fiscal year in which the training is completed. The local agency must submit a completed WRE Roster/Evaluation Form to STC (keep a copy for your records). *WRE credit may not be used to satisfy more than one half of the annual training requirement for line staff and supervisors.* Managers and administrators may satisfy as much as 100% of their annual training requirement via WRE.

E. Special Certification

1. When to Use It

When a training event meets the usual STC requirements for a regular certification (in terms of format, content, and instructor expertise), but the majority of the participants targeted for a training event are outside local corrections, the provider of that training may not be inclined to seek a regular course certification through STC. In such cases, a participating agency may submit the required information via a request for *Special Certification* of the course. The special certification course credit is specific to trainees named in the application and is non-transferable.

2. What's Required

STC participating agencies sending staff to the training event act as a training provider and can request special certification for staff by submitting a Special Certification application. The application is submitted on-line or and may be filed after the date of the training provided it is filed before the end of the fiscal year in which the training occurs. Agencies are admonished, however, that if certification by STC is required in order to achieve compliance with training standards, it is preferable to file the special certification request in advance of the training date. This admonishment is especially important if the training delivery date is scheduled for late in the fiscal year.

A Special *Certification Course Roster and Evaluation* form must be submitted to STC within 30 days of completion of the training (keep a copy for your records). Only participating agencies may request Special Training Certification. When granted, all Special Training Certifications apply only to those specific persons named in the approval letter. Eligibility is *not* transferable.

Special note concerning courses certified by POST and NIC:

In an effort to avoid redundant data entry, STC has established a streamlined special certification process that local departments may use to obtain credit for corrections-related courses that are already certified by either POST, or NIC. Because POST and NIC have course certification processes similar to STC, it is not necessary to include the course outline, course instructional objectives, or instructor information in the STC special certification application for a course already certified by POST or NIC.

When submitting an application for special certification of a course already certified by POST or NIC, local departments may submit an abbreviated application to STC as follows:

♦ In the "course summary" section, state that the course is certified by either POST or NIC and list the POST/NIC course identification number;

♦ In the "course summary" section, explain the relevance of the course subject matter to correctional job tasks performed by the trainee in the local agency;

♦ In the "course objectives" section, enter "POST (or NIC) Approved;"

♦ On one instructor information sheet, even if there are multiple instructors, enter "POST (or NIC)" for the last name and "Approved" for the first name;

♦ In the "course outline" section, in the spaces provided for "time begin and end", enter the start time for the first day of training and end time for the last day. In the space for "subject or topic" enter "POST (or NIC) Approved"

♦ Complete the information requirements for attending staff as usual.

F. Computer-Based Training

1. When to Use It

The Board of Corrections may approve an alternative hourly equivalent training delivery program for non-traditional training courses referred to as Computer Based Training (CBT). Alternative hourly equivalents through this training methodology apply to annual training only, and trainees will receive full training credit upon approval of the course by the Board of Corrections.

These non-traditional training opportunities are not meant to replace instructor led performance-based training, but rather to complement the available range of training alternatives specific to the needs of local corrections agencies. The core mission of the STC program is to raise and maintain the level of competence of the State's local corrections personnel in county and city jails, juvenile facilities and probation systems. Thus, the goals of Computer Based Training serve to facilitate that core mission by expanding alternative training resources commensurate with new technologies and information delivery systems that enhance and add to the existing training methodologies.

1) *General Considerations When Selecting CBT Courses*

- ♦ Computer Based Training may include a job related course of instruction that is provided on interactive CD ROM or distributed learning courses that are delivered over the Internet or agency intranet (i.e., web-based training).

- ♦ Computer Based Training can be synchronous (everybody meets online at the same time to receive course instruction) or asynchronous (trainees can learn at their own pace and the training can be accessed anytime and anyplace.

- ♦ All STC certified computer-based training must contain specific quality and testing components.

- ♦ Agencies will provide an assurance statement attesting to the training hour equivalency based upon the recommendation of the courseware designer or provider (hourly equivalencies are based upon a rationally developed estimate by the course designer of the number of hours it would take the average trainee to complete the course).

2) *Receiving Training Credit*

- ♦ Trainees who complete computer-based courses may be eligible for hourly training equivalents.

- ♦ Hourly equivalents are based on the average time it takes an individual to complete the course work.

- ♦ Alternative hourly equivalents through this training methodology apply to annual training only.

- ♦ Trainees will receive full training credit upon approval of the course by the Board of Corrections, Standards and Training for Corrections (STC) Program.

- ♦ Different learning styles and experience levels may show that some individuals take more time than others to complete the course-work.

2. **What's Required**

A *Computer-Based Training Application for Alternative STC Training Credit* (hard-copy) must be filed with STC at least 20 days prior to the training event.

To certify a computer-based course, the following criteria for course delivery must be met:

1) *Course Delivery*

- Presentation of the course may include text, audio, video and/or demonstration simulations.

- The course must offer the trainee the opportunity to practice, explore and/or interact with the program or communicate with the instructor.

- Courses must contain some level of interactivity (as an example, exploration of the subject material or simulation of a procedure or process). Computer-Based Training that serves as nothing more than electronic text is not acceptable.

- Instructor led online courses must provide the opportunity for the trainee to interact or ask questions with a qualified instructor via email or other method of communication.

2) *Testing*

- All STC certified CBT courses must include some form of testing in order to measure skill or knowledge transfer.

- Testing may include:

  - proctored online tests;
  - automated testing programmed into the course that must be completed for the trainee to progress through the course; or
  - automated testing at the completion of a course that will record the trainee's test score.

3) *Passing Grade*

- Participating agencies must determine passing grades based upon recommendations of the course designer or the requirements of the presenter.

- When determining the "passing grade," agencies must determine the frequency and importance of skills to be learned by the trainee, examples include:

  - courseware designed around a specific agency policy or procedure may require a very high passing grade;
  - courses that address general or conceptual topics may require less than a perfect score.

4) *Documentation of Completion*

- ♦ Agencies must retain documentation of course completion, e.g., course rosters or a certificate of completion.

- ♦ This documentation can be generated by the CBT program or course provider.

5) *Course Evaluation*

- ♦ Each participant receiving STC certification must complete a course evaluation.

- ♦ The STC *Computer Based Training Roster/Evaluation* must be completed and submitted to STC within 30 days of course completion (keep a copy for your records).

6) *Courseware Licensing*

- ♦ STC participating agencies are responsible for adherence to copyright and licensing requirements established by software vendors.

G. Individualized Training Program (ITP) Agency Providers

1. <u>When to Use It</u>

When staff are assigned to a new facility, function or program, or return after a substantial absence, they must be oriented to the policies, procedures and job functions needed to be competent in the assignment. ITP provides a structured means to ensure that staff are prepared to perform their duties through a combination of formal instruction, testing, structured feedback, documentation of progress, and observed on the job performance. ITP is not merely on the job training, but a comprehensive approach to training that requires the development of instructional objectives, a standardized curriculum, instructor training and procedures for documenting the trainee's progress. The training hours that accrue are based on the time devoted to formal instruction, testing (Behavioral Skills, Written Skills and Job Knowledge) and structured performance feed back. The number of training hours for completing the program will be determined at the time the course is certified and are based on the average time it takes an individual with the average instructor to complete the program. Credit is based on completing the entire program, however the department has the

flexibility in the sequence in which the components are presented. Once the program is certified, training sessions may be scheduled without advance notification to STC.

2. __What's Required__

The application for ITP credit is submitted on-line using the Regular Request for Certification (RFC) format. It must be submitted by the participating agency training manager to the STC Field Representative at least 20 working days before the first training event. Consultation with your assigned Field Representative is highly recommended prior to beginning your Request for Certification for an ITP due to the unique requirements of this certification. To certify an ITP the following requirements must be met:

- ♦ There must be a set curriculum with specific training objective.

- ♦ The instructor(s)' prior education, experience and training as described in the on-line application must clearly establish the instructor(s)' ability and expertise to teach the course.

- ♦ There must be a formal system for documenting the trainee's progress

- ♦ Agencies must retain documentation of program completion for each trainee.

The standard Request for Certification is used. The course summary section of the RFC application should be used to provide a detailed description of the program. The description should include an overview of the program, the length of the program, including on the job observation and job performance, and the procedures that will be used to document staff progress in the program.

The RFC format requires a statement of performance-based training objectives as well as a course outline.

The course outline should include: each of the formal instructional modules; testing, formal performance feed back sessions giving time, content and method. While flexibility is permitted in terms of sequencing of the individual modules, the "begin and end times" on the course outline are used as a mechanism of estimating approximately how long each module of the course will take.

Once certified, the training can be presented unlimited times during the next 12 months. An original *Course Roster* and *course evaluation* form for each participant must be

submitted to STC within 30 days following staff's completion of the program. The *Course Roster* will reflect the total number of training hours approved for the program. Keep a copy of the each roster for your records as well as the department records that document the trainee progress through the course.

XII. CONDUCTING NEEDS ASSESSMENTS

A. How to Best Use Training Resources

Helpful Hint: The STC program presumes that the delivery of training by agencies is based on a thoughtful needs assessment. A needs assessment is defined as an analytical process that systematically examines organizational and individual needs, and can suggest ways to aim training resources, both short and long-term. Agency-wide needs assessment should involve all organizational levels (administrators, managers, supervisors, and line staff).

B. Focus of Needs Assessment Varies

A needs assessment can focus on: a.) organizational needs, b.) the needs of a work group or strata of personnel, or c.) individual needs in the work place. The selection of a needs assessment tool will depend on which of these the agency will focus. Most often an agency has completed a needs assessment the agency is able to identify findings about:

♦   problems or conditions that suggest training is not the appropriate solution; problems or conditions that suggest that training is the solution

♦   problems or conditions that suggest training can address them only if other types of solutions can accompany the training e.g., development of a policy and procedure, reorganization, etc.

C. Outcome of Needs Assessment Can Suggest Multi-Year Planning

When an agency conducts needs assessment and concludes that training interventions are part of the solutions to conditions uncovered, the agency frequently does not have all of the resources in to do all of the training desirable in a single year. In these cases, agencies must set multi-year priorities about the conditions most important to address within the current training year, which ones can be addressed the next year and which ones will have to wait for following years. Thus, agencies often make multiyear decisions about the use of training resources. Therefore, it is important to continually revisit the "old" list and consider it in the light of new needs that may have emerged since it was developed, perhaps two or three years earlier.

D. Training Can Contribute to the Agency's Strategic Direction

The agency's training program has the task of securing needed resources for current agency operations, and for meeting the long-term goals of the organization. The task includes developing training strategies that meet and support organizational needs. It also includes developing all aspects of the training system as a key resource to the department for meeting these needs.

The development of any organization's training system requires an examination of the issues facing that organization. The examination must focus the issues as they relate to current, planned activities, and training needs. It may often be a multi-year effort and include all units in the department. Therefore, an agency's training program is, linked to all organizational units - the "consumers" of training. The relationship between training and the organization's needs must be clear. The development of a training system must include a futures look that recognizes change, and is viewed as a planned intervention. In the end, for training to be effective, it has to be anchored in goals set by the organization. Training goals set in this manner can then guide decisions about training strategies. The Multi-Year Needs Assessment, while not required, is encouraged for all agencies participating in the STC Program.

E. The Needs Assessment Relationship to Training

The procedures and formats described in this section are important. They are predicated on a rational decision-making process by participating agencies focusing on careful judgments about where to aim the training resources (time, staff, funds) for the maximum benefit of the agencies.

When training resources are scarce, conducting a needs assessment, however formal or informal, is essential to make decisions about where to aim the training interventions. Sometimes needs assessments are agency-wide. Other times it can be program specific or focused on a definable job classification or occupational group. Following are several examples of different approaches to conducting a needs assessment:

F. Approaches to Conducting A Needs Assessment

1. Performance Analysis

Performance analysis attempts to discover discrepancies between expected levels of performance and actual levels of performance. When actual falls below expected, and there has been no history of employees knowing how to perform at standard, formal training is warranted.

2. One-to-One Interviews

Carefully planned interviews held with the promise of confidentiality can produce valuable information about how people are thinking or feeling about the functioning of an organization, thereby providing clues about which issues or conditions training can target.

3. Group Approaches

People can be brought together from a work unit or a job classification and asked to identify conditions in the performance of work that organizational training might help to address. Types of group approaches that produce useful information are Brainstorming, Nominal Group Technique and Focus Groups, among others. Sometimes Mail-Out Questionnaires are used to solicit information from groups of people and are valid needs assessment tools if they ask the right questions. *However, simply asking people to select courses to go to, from a list of course titles, does not produce sound information about conditions in the organization that training can assist. Questionnaires that query people about "What's going on here that might lend itself to training solutions?" produce more enlightened information about where to aim the training resource.*

4. Individual Development Plans (IDPs)

Individual Development Plans examine an individual's background (training, education and work experience), and solicit information about the individual's long- and short-term career goals. Training activities are aimed at gaps between where a person has been and where the person's career is likely to lead, once agreement has been reached about goals.

It is important for the IDP to be discussed least between the employee and the first line supervisor. Some organizations use a third-party mediator or coach in the negotiation process. When IDPs are administered organization-wide a training inventory matrix can be developed to display training needs that are unique to one or two individuals or those that have wide applicability across the organization. Below is an example.

	How to Write a RFP	First Aid CPR	Caseload Management	Planning	Diversity
Abraham, G.				X	X
Bonet, M.		X		X	
Brown, R.			X	X	
Chan, W.				X	
Hernandez, T.	X			X	

5. **Incident Debriefing**

Debriefing significant incidents (e.g. inmate deaths, riots or responses to disasters, etc.) and usually done in groups can produce clues about the performance of an organization and its employees, and gaps that may be addressable by training.

6. **Findings During Inspections**

Adult and juvenile facilities and programs are subject to a variety of administrative inspections (Health, Fire, Grand Jury, BOC). BOC inspections are required by law and conducted regularly related to compliance with Titles 15 and 24, CCR. Frequently these inspections reveal conditions that are addressable by training. The inspections provide a valuable source of needs assessment information.

7. **Less Formal Approaches**

Many less formal approaches to learning about issues addressable by training are used by organization leaders and members. These involve observations in staff meetings, walking around, and informal conversations. Any method of learning "what's broken," where missed opportunities are, or where there are gaps in an organization, are valid needs assessment tools, which can frequently suggest appropriate places to aim the training resource.

XIII. ADDITIONAL COURSE CERTIFICATION INFORMATION

A. Certification Restrictions

Meetings of any type by any organization will not be certified. Certification may be granted for training courses held immediately before or after a meeting.

A course that restricts attendance to a single department will not be certified, except when the purpose of the course is for the improvement of a specific department, and thus, attendance by persons outside the department would jeopardize the success of the course.

Conferences, that do not meet the Request for Certification criteria in terms of instructional design or format, will not be certified.

B. Length and Type of Certification

"Regular Certification" of a course by STC is valid for one year.

- ♦ Certification - An original certification request is for job-related training that has a formal program of instruction approved by STC for training of eligible staff.

- ♦ Recertification – While requests for recertification of courses should be submitted prior to the expiration date, the course will continue to be eligible for recertification until 90 days following expiration. Please note that if no request for recertification is received before the due date, the certification becomes invalid on the expiration date. If a provider does not secure recertification within 90 days after expiration, the course will be purged from the on-line system.

- ♦ Provisional Certification- This certification is used for courses that are new, have inexperienced instructors or providers, are seeking certification from STC for the first time, or are on a probationary status due to past problems. A provisional certification may be issued at the discretion of STC. A course with a provisional certification may be advertised as a certified course and tuition collected.

C. Course Attendance

1. <u>Course Roster</u>

Each training provider is responsible for accurately recording daily attendance for every participant. The time of *actual classroom attendance* will be credited. Within 30 days

following course completion, the training provider must send a roster to the participating agencies, listing the participants and the actual classroom time they attended. The training manager must keep a copy of the roster to document attendance. The original roster is mailed to BOC.

2. **Certificate of Course Completion**

For any STC certified course (Core or annual), providers may, at their discretion, issue certificates of course completion. If a certificate is issued, it must include the following information:

- ◆ Name of the training provider,

- ◆ Name of the trainee,

- ◆ Official title of the course,

- ◆ Total number of STC certified hours for the course

- ◆ STC certification number for the course,

- ◆ Date of course completion

- ◆ A statement that the course was successfully completed by the trainee

- ◆ Signature of the training provider

If a training provider opts to issue a certificate of course completion, it shall be in addition to the course roster described in the prior section.

Refer to the manual entitled *Handbook for Presenting Core Courses* for more information.

D. Certification Numbering System

Each course is assigned a ten-digit number. The first four numbers are the provider's number and the final six numbers are the course number; they are separated by a hyphen (example 0123-004567). In order to ensure that a course is STC certified, agencies should obtain STC certification numbers before sending participants to training.

E. Publication and Advertising

Advertising - The ten-digit course certification number should be printed on all course announcements, brochures, bulletins, or publications about the course. *Providers may not*

advertise the class as BOC or STC certified, or pending certification, until they have received notice from STC that the course has been certified..

> **Helpful Hint: Agencies should be wary of courses advertised without a certification number. Agencies should verify with STC the certification status of any course in question.**

STC Course Catalog and Calendar - The course catalog and calendar may be accessed through the BOC website at http://www.bdcorr.ca.gov/.

Every effort is made to ensure the accuracy of the information contained in the catalog and calendar. However, unpublished changes may occur, and agencies are advised to always confirm course information directly with the training provider.

F. Modification of Certified Courses

Participating agencies should notify STC if providers do not abide by the following policies:

♦ **Changes** - Training providers must provide written (or on-line) notice to STC and all agencies that have registered participants of any changes in a certified course as soon as possible, but not less than ten days before the class. Such changes include, but are not limited to, course length, dates, instructors, and course size.

♦ **Cancellations** - Providers may cancel a scheduled course for good cause but must notify STC and all agencies with registered participants of the cancellation at least ten days before the first day of the course.

♦ **Emergency Changes and Cancellations** - When an emergency occurs that causes last minute changes in a certified course, such as postponement, cancellation or a change of instructors, the provider must immediately notify by telephone STC and all agencies with registered participants.

G. Department's Responsibility to Providers

Cancellations - STC policy requires agencies to notify the training provider of canceled enrollments at least <u>fifteen</u> calendar days before the course. If an emergency occurs which prevents a participant from attending, the department should notify the provider immediately.

When agencies enroll participants in an STC certified course, the agencies incur an obligation to the provider. The terms and conditions of this obligation are negotiable between the agency and the provider. The provider may require written confirmation of enrollment.

H. Peace Officer Standards and Training (POST)

POST certification of a course does not constitute an STC certification, nor does an STC certification of a course constitute a POST certification. These certifications are regulated by different state agencies and governed by separate policies and procedures.

However, there are several specific courses that POST certified that STC directly recognizes for purposes of STC training credit. These courses are:

- **Training pursuant to 832 PC** (either the laws of arrest, or firearms component, or both);

- **POST Supervisory Course** (satisfies STC Core Supervisor training requirement);

- **POST Management Course** (satisfies STC Core Manager/Administrator training requirement);

STC not only recognizes the POST courses listed above, but will also accept the POST roster or certificate for verification of course completion.

POST Continuing Professional Training Requirements - Agencies with "street" enforcement peace officers (i.e. deputy sheriffs or police officers) who are assigned full time to jail/corrections duties may meet POST Continuing Professional Training requirements by satisfying either POST Continuing Professional Training criteria <u>OR</u> by satisfying STC Annual Required Training criteria (POST Bulletin 85-10). Agencies that intend to exercise this option should contact STC to verify any additional compliance information that may be required.

However, while assigned to a corrections function, such peace officers must fully comply with all STC Core and annual training requirements.

I. STC Annual Training Requirements

Agencies that wish to request STC credit for corrections-related training certified by POST, must apply for STC credit using either the Special Certification or Work Related Education

(WRE) procedure. Records must be maintained in the individual's training file that document the POST course completion (e.g., POST Course Completion Certificate) and approval of alternative credit by STC (i.e. special certification or WRE approval).

J. Suspension/Revocation of Course Certification

♦ **Causes for Suspension/Revocation** - There are three causes for suspension/ revocation of a training provider's course certification:

♦ No demonstrated need for the course;

♦ Presentation of low quality courses as disclosed by participant course evaluations; department evaluations, STC monitoring of courses, or other sources; and,

♦ Violation of agreements demonstrated by:

- Not following STC regulations, policies and procedures
- Not following work outlined in the approved Request for Certification
- Non-cooperation with the BOC or the State Controller's Office
- Not adhering to a contract for training services with a participating department.

The training provider must notify all agencies with registered participants that the certification has been suspended or revoked. Failure to do so may result in agencies refusing to pay for course tuition.

Effect of Suspension/Revocation - If a course certification is suspended or revoked, the STC name and course certification number may not be used or implied in any advertising that is published after the date of the suspension or revocation. Agencies will not receive credit toward BOC's training requirements after the certification is revoked.

K. Evaluation of Certified Courses and Participants

1. Course Evaluation by Trainees

The mission of the STC program is to enhance the competency of local corrections personnel. This in part is achieved through the continuous evaluation and improvement of the quality of STC certified courses. Course evaluation by participants is a vital element in this process.

STC supplies standard Course Evaluation Forms, which all providers are required to use. The questions ask participants to evaluate the course on 10 scales: Overall Rating, Content,

Relevance/Usefulness, Amount Learned, Course Organization, Use of Class Time, Instructor Knowledge, Instructor Effectiveness, Instructor Responsiveness and Relevance of Training Aids. Providers must send the completed forms to STC within 30 days following the course offering.

The results are analyzed and reported on the STC web page and can be accessed and graphically displayed through the on-line STC Course Catalog. Three levels of information provided in the online report are as follows:

♦ **Level I,** found as part of the course information on the Web Catalog page, gives comparative information based on overall rating of the course. Two scales are presented "Providers Presentation of this Course" and "All STC Presentations in this Same Category." Each scale displays a graph and details the highest overall rating, the lowest overall rating and mean for all of the presentations of the course or category.

♦ **Level II** is a listing of all the course dates for which there is data. Each date is connected by hyperlink to level III.

♦ **Level III** provides a display of detailed evaluation data that is specific to the course based on all ten dimensions contained in the STC evaluation form. It also provides a dimension-by-dimension comparison to all other courses in the same category (refer to "Course Numbering System and Course Categories" in the *STC Policies and Procedures Manual for Training Providers).*

It is difficult to draw meaningful information from a review of the completed Course Evaluation Forms without the comparative data, as trainee ratings vary among each of the course categories and from offering to offering. The reporting system controls for this by comparing a course only to those courses in the same category and only reports on those courses where there is sufficient data for analysis. The data will be available in the STC Catalog as soon as the evaluation forms from each class are analyzed. The information is intended to assist providers in their on-going efforts to continually upgrade the quality of STC training.

Participating agencies are encouraged to review course evaluation information when considering the use of an established course

2. Course Evaluation by Training Providers

Providers may submit evaluation information to STC that is in addition to the STC course evaluation forms. This can be in the form of an additional course evaluation instrument or it may be a letter with specific information evaluating the success of the course, response of the participants and the working relationship with participating agencies.

3. Course Evaluation by Participating Agencies

STC encourages all agencies to submit specific information that will assist in the evaluation of certified courses. Such information might include the departments' working relationship with the provider, an evaluation of the course, skills/knowledge learned by participants and statements regarding the providers adherence to contracts or advertising the course.

4. Course Evaluation of Trainees by Training Provider

On an optional basis, providers of either core or annual courses may wish to maintain an anecdotal record of an attendee's performance in training (e.g. attitude, assertiveness, oral communication, written communication, initiative, interpersonal skills, judgment, maturity, personal appearance, responsibility, etc.).

5. Testing

Although testing in Annual Required Training courses is optional, providers are strongly encouraged to develop testing instruments for all STC courses. Agencies requesting specifically designed training for their staff should insist on a testing component.

All certified entry Core courses must conduct testing as prescribed in the statewide Core training curriculum. When tests are administered, it is the responsibility of the provider to score all the tests, provide a summary of the test results and trainee participation by individual, and distribute this information to the individual's department within 30 days of course completion. Again, *testing is required for all Core courses*.

6. Monitoring

Course monitoring is an integral part of STC. Each year STC staff monitor selected certified training courses using an instructional evaluation format. The purpose is to determine whether the course objectives are being met and to evaluate the course quality. STC staff monitor certified courses with or without prior notice. Monitoring includes all of the following:

- ♦ Check for adherence to the RFC;

- ♦ Review lesson plans;

- ♦ Assess instructors' presentation;

- ♦ Solicit participant feedback;

- ♦ Analyze instructor/training provider feedback; and,

- ♦ Review program/fiscal records.

L. Frequently Requested Documents and Forms

STC has a large number of reference documents and forms designed to aid participating corrections departments and training providers in implementing the STC Program. The majority of these documents are available via the BOC Website: www.bdcorr.ca.gov

If you don't find what you are looking for on our Web Site, please contact your assigned Field Representative, or call BOC's main phone number (916) 445-5073 for assistance.

Following is a list of the most frequently requested documents and forms.

Reference Documents	Forms
STC Manual for Participating Departments	Request for Certification (application package)
STC Manual for Training Providers	Course Roster (regular RFC)
STC Directory	Course Evaluation Form (regular RFC)
STC Regulations, Title 15 CCR	Special Certification (application package)
Guidelines for Writing Instructional Objectives	Special Certification Roster/Evaluation
Handbook for Presenting Core Courses	Intensified Format Training (application package)
Guidelines on Test Item Writing	Work-Related Training and Education (application package)
Core Training Manual-Adult Corrections Officer	Work Related Roster/Evaluation
Core Training Manual-Juvenile Corrections Officer	Sample Invoice for Tuition
Core Training Manual-Probation Officer	Candidate Orientation Booklets (PO, ACO, and JCO)
Lesson Plan Development for Core Courses	Computer Based Training Credit (application package)
Testing in Core Courses	Computer Based Training Roster/Evaluation
Statewide Job Analyses (PO, ACO and JCO)	Annual Training Plan
Selection Test Users Manuals (PO, ACO and JCO)	Quarterly Report
Work Activities and Competencies (PO, ACO and JCO)	